

09/27/01

PTO/SB/05 (2/98)

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box

U.S. PTO

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No.

PC9869B

First Named Inventor or Application Identifier

Anton Fliri

Title

SUBSTITUTED BICYCLIC DERIVATIVES FOR TREATING  
CENTRAL NERVOUS SYSTEM DISORDERS

Express Mail Label No.

EL625565265US

(Only for new nonprovisional applications under 37 C.F.R. §1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \*Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 82]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference in Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☐ Drawing(s) (35 U.S.C. 11.3) [Total sheets ]
4. ☒ Oath or Declaration [Total pages ]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR §1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☐ \*Small Entity ☐ Statement filed in prior application,  
Statement(s) Status still proper and desired  
(PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: Priority Claim  
U.S. Serial No. 60/083,421  
filed April 29, 1998

\*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09// 300,262

Prior application information: Examiner T. Solola Group/Art Unit: 1626

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

Name Paul H. Ginsburg

Address Pfizer Inc

Address 235 East 42nd Street, 20th Floor

City New York

State

New York

Zip Code

10017-5755

Country United States Of America

Telephone

(212)573-2369

Fax

(212)573-1939

NAME (Print/type) E. Victor Donahue

Registration No. (Attorney/Agent)

35,492

Signature

Date

September 27 2001

# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

Total Amount of Payment (\$710.00)

Application Number	Express Mail Label No. EL625565265US
Filing Date	September 27, 2001
First Named Inventor	Anton Fliri
Examiner Name	T. Solola (anticipated)
Group/Art Unit	1626 (anticipated)
Attorney Docket No.	PC9869B

## METHOD OF PAYMENT (check one)

1. ☒ The commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 16-1445

Deposit Account Name: Pfizer Inc

☒ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17. ☐ Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance.

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)					710.00

### 2. EXTRA CLAIM FEES

Total Claims	16	-20**=	0	X		=	0
Independent Claims	1	- 3**=	0	X		=	0
Multiple Dependent						=	0

\*\* or number previously paid, if greater; For Reissues, see below

Large Entity		Small Entity		Fee Description		
Fee Code	Fee (\$)	Fee Code	Fee (\$)			
103	18	203	9	Claims in excess of 20		
102	80	202	40	Independent claims in excess of 3		
104	270	204	135	Multiple dependent claim, if not paid		
109	80	209	40	**Reissue independent claims over original patent		
110	18	210	9	**Reissue claims in excess of 20 and over original patent		
SUBTOTAL (2)				<table border="1"><tr><td>(\$)</td><td>0.00</td></tr></table>	(\$)	0.00
(\$)	0.00					

## FEE CALCULATION (continued)

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late fee or oath	
127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional Applications	
126	240	126	240	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
Other Fee (specify)					
Other Fee (specify)					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					0.00

## SUBMITTED BY

Type or Printed Name	E. Victor Donahue	Complete (if Applicable)	
Signature		Reg. Number	35,492
Date	September 27, 2001	Deposit Account User ID	

Certificate of Express Mailing under 37 CFR 1.10

The undersigned hereby certifies that the listed documents attached hereto were deposited this day with the United States Postal Service as Express Mail, Post Office to Addressee, postage prepaid, in an envelope bearing **Express Mail Label EL625565265US** addressed to the Commissioner for Patents, Box New Application, Washington, DC 20231.

Utility Application Transmittal (in duplicate)

Fee Calculation Sheet (in duplicate)

Preliminary Amendment

Specification and claims entitled "SUBSTITUTED BICYCLIC DERIVATIVES FOR TREATING CENTRAL NERVOUS SYSTEM DISORDERS" consisting of 71 pages of text, 10 pages of claims, 1 page Abstract

09

Copy of Inventor Declaration from parent ~~X~~/300,262 application

Return Receipt Postcard

Date: September 27, 2001



E. Victor Donahue

09965563-092701